Politics vs Technology: the Twists and Turns of Open Access

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Four Cognitive Revolutions:

- **Speaking** (fast turnaround time)
- **Handwriting** (slow turnaround time)
- **Print** (slow turnaround time)
- **Skywriting** (fast turnaround time)
Revolution #1: 300,000 Years ago:

The Advent of Language (words were free)
Revolution #2: 6000 years ago

The Advent of Handwriting
Revolution #3: 600 years ago: Print

Spoken interactions are *online cognition*; written interactions are *offline cognition*. 
Revolution #4: 50 yrs ago: Internet
FTP: 1960’s

(Computer scientists began sharing papers by depositing them in anonymous FTP archives:)

![Diagram of FTP client and server connected through the Internet with control and data connections.](image-url)
1989 – 2002 Psycoloquy
(one of earliest Gold OA journals)
24 years ago: the Web
Arxiv 1991
(physicists have been depositing – no questions asked – for nearly a quarter century now)
Jun 1994 – Subversive Proposal
(authors should self-archive the final, refereed, accepted drafts of their journal articles, free for all online = “it’s raining, boys and girls, time to put on your raincoats.”)
Jan 1996 – JISC ELiB
Cogprints Project
(Matt Hemus)
Sep 1998 – American Scientist Open Access Forum (Amsci) (now the Global Open Access Forum (GOAL))
Oct 1999 – EPrints announced
(Rob Tansley, later Chris Gutteridge)
Jan 2000 – First EPrints repository goes live (eprints.ecs.soton.ac.uk)
Dec 2001 – Budapest Open Access Initiative (BOAI)
Feb 2002 – International meeting on National Policies on Open Access

invitation-only international meeting, joined by a major group of Pro-VCs and institutional digital information managers from Australia
2003 -- ROAR
Registry of Open Access Repositories
(Tim Brody)
2003 – ROARMAP
Registry of Open Access Repository
Mandatory Archiving Policies
Jan 2003 – ECS Open Access mandate
(world’s first OA mandate)
(Wendy Hall)
Aug 2004 – Joint Southampton OA Recommendation to Parliamentary Select Committee

Les Carr, Dave DeRoure, Stevan Harnad, Jessie Hey, Tony Hey, Steve Hitchcock (Southampton)
Charles Oppenheim (Loughborough)

Summary

Academic libraries are struggling to purchase subscriptions to all the journal titles needed by their users. This is due both to the high and increasing journal prices imposed by commercial publishers and the inadequacy of library budgets to meet the demands placed upon them by a system supporting an ever increasing volume of research. Whilst there are a number of measures that can be taken by publishers, libraries and academics to improve the provision of scientific publications, a Government strategy is urgently needed.

This Report recommends that all UK higher education institutions establish institutional repositories on which their published output can be stored and from which it can be read, free of charge, online. It also recommends that Research Councils and other Government funders mandate their funded researchers to deposit a copy of all of their articles in this way. The Government will need to appoint a central body to oversee the implementation of the repositories; to help with networking; and to ensure compliance with the technical standards needed to provide maximum functionality. Set-up and running costs are relatively low, making institutional repositories a cost-effective way of improving access to scientific publications.
25 Feb 2004 QUT
World’s First Institution-Wide OA Mandate
(Tom Cochrane)

Queensland University of Technology (25 Feb 2004)
INSTITUTION or FUNDER URL: http://www.qut.edu.au/
The effect of open access and downloads ('hits') on citation impact: a bibliography of studies
2004 NIH OA Policy “Recommendation”
(Upgraded to Mandate 2007)
Dec 21 2004 U Minho
First University-Wide OA Mandate in Europe
(Eloy Rodrigues)
Swan & Brown 2005 Survey
“would authors comply with Green OA mandates?”
Mar 2005 – Berlin 3 Open Access workshop, Southampton

Berlin 3 Open Access:
Progress in Implementing the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

Feb 28th - Mar 1st, 2005, University of Southampton, UK

Outcomes

Agreed Recommendation (emphasis added):

"In order to implement the Berlin Declaration institutions should implement a policy to:

1. **require** their researchers to deposit a copy of all their published articles in an open access repository

and

2. **encourage** their researchers to publish their research articles in open access journals where a suitable journal exists (and provide the support to enable that to happen)."

Jun 2006 – Southampton Institutional Deposit Mandate for RAE items (Les Carr)

In each institution, the researchers simply select their best articles from the Institutional Repository. These are routed through to the institution’s Research Management System which prepares the final submission for RAE 2008. The RAE panels may access pre- or postprints from the RAE Repository.

Institutional Repository
Researchers, academics, professors

RAE repository sub-collection

Institutional Research Management System
Vice chancellors, deans, senior managers
2007 U Liège
Optimal Immediate-Deposit Mandate
(Bernard Rentier)
Jan 2008 – Southampton upgrades to full institutional mandate (but a very weak one)
Feb 2008 – Harvard A&S Mandate

Harvard University: Faculty of Arts and Sciences (13 Feb 2008)
INSTITUTION or FUNDER URL: http://www.harvard.edu/
MANDATE URL and TEXT

11/7/13
Web Science Institute Seminar
Mandated (Minho, CERN, QUT, Soton ECS) vs Unmandated OA (2002-2006)
% UK OA **Green (Immediate & Delayed), Gold (Immediate)) & Gold (Delayed)**

ISI indexed UK articles published 2007-2012 (tested 2013)
% UK OA **Green (Immediate&Delayed), Gold (I) & Gold (D)**

ISI-indexed UK Articles published in 2012
(tested in 2013)

Green OA I&D: 21.1%
Gold OA I: 6%
Gold OA D: 10.7%
Total: 37.7%

**Fields:**
- Clinical Medicine: 19%
- Biomedical Research: 24%
- Engineering & Tech.: 38%
- Physics: 38%
- Earth Space: 30%
- Biology: 15%
- Social Science: 21%
- Professional Fields: 21%
- Chemistry: 2%
- Math.: 50%
- Psycho.: 23%
- Humanities: 13%
- Health: 16%
- Arts: 9%

11/7/13
Web Science Institute Seminar
Comparing Liege, Minho, QUT, Surrey, Lancaster, UK-mandated average & UK-unmandated average

Liege immediate-deposit mandate is strongest and most effective mandate

(Minho & QUT are now both upgrading to the Liege immediate-deposit mandate)
% Deposit of ISI-indexed published in 2012
UK vs U. Liège
(2013)

UK Unmandated
(24,686)

UK Mandated
(11,995)

U. Liège
(1,452)
Deposit Timing: Liège

(vertical line is date of publication)
2012 The Finch Fiasco
The UK’s U-Turn
from Cost-Free Green
to Fool’s Gold

Publishers lobbying against
research institutions’ and funders’
efforts to mandate OA

is the
Publishing Tail
Wagging the Research Dog

Research and research institutions
are not being funded
by the tax-paying public
as a service to the publishing industry
2012: BOAI-10 OA Policy Recommendations

1. On policy

1.1. Every institution of higher education should have a policy assuring that peer-reviewed versions of all future scholarly articles by faculty members are deposited in the institution’s designated repository...

   Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication.

University policies should respect faculty freedom to submit new work to the journals of their choice. [emphasis added]

University policies should encourage but not require publication in OA journals [emphasis added] ...

1.3. Every research funding agency, public or private, should have a policy assuring that peer-reviewed versions of all future scholarly articles reporting funded research are deposited in a suitable repository and made OA as soon as practicable.

   Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication..
Feb 2013: OSTP Directive & FASTR & PAPS Bills

US White House Office of Science and Technology Policy (OSTP) (22 Feb 2013)
INSTITUTION or FUNDER URL: http://www.whitehouse.gov/administration/eop/ostp
MANDATE URL and TEXT
May 2013 -- FRS/FNRS Belgium
Harmonized Funder+Institution Mandate
(Liège Immediate-Deposit Model)
May 2013: HEFCE Proposed Mandate Immediate-Deposit for REF2020 (Liège/FNRS Model)
Optimizing OA Mandates

#1  **Who must make the paper OA?** The author (not the publisher)

#2  **Where must the paper be made OA?** In the author’s institutional repository (from which it can be automatically exported/harvested)

#3  **When must the paper be deposited?** Immediately upon acceptance for publication

#4  **When must the paper be made OA?** Preferably immediately, otherwise after publisher embargo
Open Access: How?

Universities and Funders adopt the ID/OA mandate:

Immediate Deposit
+
Optional Access
+

(Sole mechanism for submitting for performance review or research funding)
For articles deposited as restricted access instead of open access, user can press the request a copy Button.
To request a copy the user just pastes in their email address (and message, optional) and clicks
Authors receives immediate email and can click “Accept the request,” in which case repository software automatically emails copy to requestor.

From: DemoPrints XXX@ecs.soton.ac.uk
Date: July 28, 2007 12:51:43 AM EDT (CA)
To: XXX@ecs.soton.ac.uk
Subject: Request for “Open Access Mandates and Metrics”


This item has been requested from DemoPrints by: myemail@wherever.edu.

The following reason was given:
“Please send me a copy for research purposes.”

Please can you respond by clicking one of the following:

Accept the request (eprint will be emailed automatically)
Reject the request

(Please also consider removing the access restrictions so that your eprint is directly available to users without the need for these extra keystrokes.)

DemoPrints http://demoprints3.eprints.org/
Optimizing and harmonizing the Green OA Mandates of funders and institutions through immediate-deposit

1. When funders mandate immediate institutional repository deposit, this in turn recruits institutions to monitor and ensure timely compliance (and to adopt complementary institutional immediate-deposit mandates of their own)

2. Authors must do the deposit, not publishers: funder requirements bind fundees, not publishers, who have a conflict of interest with mandate compliance.

3. The 40% of publishers who embargo Green OA are attempting to hold OA hostage to sustaining their current inflated revenue levels, whether via subscriptions or via (pre-Green) “Fool’s Gold” (over-priced, double-paid, and, if hybrid, double-dipped)

4. The immediate-deposit mandate + the Button maximize mandate compliance and minimize access delay and research impact loss as a result of publisher embargoes on Green OA

5. Immediate deposit and Green OA leave intact both the author’s freedom of journal choice and the author’s freedom to decide whether or not to pay for Gold

6. When immediate-deposit mandates have been adopted by institutions and funders globally, embargoes will become unsustainable, and Green OA will reach 100%

7. 100% Green OA will in turn make subscriptions unsustainable, so post-Green peer-reviewed journal publishing will be able to cut obsolete costs (print edition, online edition, access-provision, archiving, now all provided by Green OA repositories) and downsize to just providing peer-review alone, at a much-reduced Fair-Gold price, paid by authors’ institutions out of a fraction of their windfall subscription cancellation savings.

8. Post-Green Fair-Gold OA publication will be affordable and sustainable, with all the re-use and license rights that users need and authors wish to provide.

9. But none of this will happen until and unless optimized, harmonized immediate-deposit mandates are adopted by funders and institutions worldwide.

11/7/13

Web Science Institute Seminar
1. (1994) A Subversive Proposal
4. (2004) Memorandum to UK To UK Government Science and Technology Select Committee Select Committee on Science and Technology Written Evidence
5. (2004) For Whom the Gate Tolls? Select Committee on Science and Technology Written Evidence
8. (2011) Comments on Open Access FAQ of German Alliance of Scientific Organisations
12. (2013) Evidence to House of Lords Science and Technology Select Committee on Open Access
14. (2013) Follow-Up Comments for BIS Select Committee on Open Access
17. Multiple Comments on CIHR Open Access Policy
18. Multiple Comments on SSHRC Open Access Policy
19. Multiple Comments on OA Progress in Canada
20. Multiple Comments on NIH Public Access Policy
21. Multiple Comments on Harvard Open Access Policy
22. Multiple Comments on France/HAL Open Access Policy
23. Multiple Comments on Australian Open Access Policy